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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANTS: MALCOLM G. SMITH, SR. )  
 )  
 ATTORNEY DOCKET NO.: 5575 413436/080 )  
 )  
 FILED: SEPTEMBER 15, 2000 )  
 (By Express Mail) )  
 )  
 FOR: DATA STORAGE CARD HAVING A GLASS )  
 SUBSTRATE AND DATA SURFACE REGION )  
 AND METHOD FOR USING SAME )

Commissioner of Patents  
and Trademarks  
Washington, D.C. 20231

CERTIFICATE OF FILING UNITED STATES  
PATENT APPLICATION BY EXPRESS MAIL

Dear Sir:

Pursuant to the provisions of 37 C.F.R. Section 1.10,  
enclosed are:

- (1) COVERING LETTER ON FORM PTO-1082;

I hereby certify that this correspondence is  
 being deposited with the United States Postal  
 Service as EXPRESS MAIL NO. EL214015725US in  
 an envelope addressed to:  
 Commissioner of Patents and Trademarks,  
 Washington, D.C. 20231, on September 15,  
 2000.

Date of Signing: September 15, 2000

Signature: *Malcolm G. Smith, Sr.*

Date of Mailing: September 15, 2000

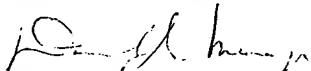
005160 09929960

- (2) United States Patent Application comprising Specification Pages 1 through 26, Claims 1 through 40 and DECLARATION FOR PATENT APPLICATION;
- (3) Seven (7) Sheets Informal Drawing;
- (4) VERIFIED STATEMENT CLAIMING SMALL ENTITY STATUS (37 CFR 1.9(f) & 1.27(b))--INDEPENDENT INVENTOR;
- (5) VERIFIED STATEMENT CLAIMING SMALL ENTITY STATUS (37 CFR 1.9(f) & 1.27(c))--SMALL BUSINESS CONCERN;
- (6) CHECK for \$877.00 paying the Filing Fee of \$837.00 for a Small Entity and \$40.00 for the Assignment Recording Fee;
- (7) ASSIGNMENT and RECORDATION FORM COVERING SHEET; and
- (8) Two (2) postcards, one for the UNITED STATES APPLICATION and one for the ASSIGNMENT.

If any additional fees are due herein, please charge the same to Deposit Account No. 13-2515.

We respectfully request a filing date of September 15, 2000, the date of mailing the above-referenced documents, pursuant to the provisions of 37 C.F.R. Section 1.10.

Respectfully submitted,

  
Daniel J. Meaney, Jr.  
Registration No. 22179  
Attorney for Applicants

P.O. Box 22307  
Santa Barbara, California 93121-2307  
Telephone: (805) 565-5513  
Dated: September 15, 2000  
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FORM PTO-1082

THE COMMISSIONER OF PATENTS AND TRADEMARKS  
Washington D. C. 20231

Case Docket No. 5575 413436/080

jc930 U.S. PTO



09/15/00

Sir:

Transmittal herewith for filing is the patent application of  
Inventor(s): MALCOLM G. SMITH, SRFor: DATA STORAGE CARD HAVING A GLASS SUBSTRATE AND DATA SURFACE REGION AND  
METHOD FOR USING SAME

Enclosed are:

- ☒ SEVEN (7) sheet(s) of informal drawing(s).
- ☒ An Assignment of the invention to ULTRACARD, INC., a Nevada corporation
- ☐ A certified copy of a \_\_\_\_\_ application.
- ☐ An associate Power of Attorney.
- ☒ A Verified Statement Claiming Small Entity Status under 37 CFR 1.9(f) and 37 CFR 1.27(b)) (Independent Inventor)
- ☒ A Verified Statement Claiming Small Entity Status under 37 CFR 1.9(f) and 37 CFR 1.27(c)) (Small Business Concern)
- ☒ This Application is a Continuation-in-Part of Serial No. 09/113,783 filed July 10, 1998 and claims benefit of United States Patent Application Serial No. 09/113,783 filed July 10, 1998.

The filing fee has been calculated as shown below.

\*\* Duplicate copy of this form attached to Assignment.

	(Col. 1)	(Col. 2)	SMALL ENTITY			OTHER THAN A SMALL ENTITY	
FOR:	NO. FILED	NO. EXTRA	RATE	FEE	OR	RATE	FEE
BASIC FEE				\$345	OR		\$ 690.
TOTAL CLAIMS	40-20=	* 20	x9=	\$180	OR	x18=	\$
INDEP CLAIMS	8-3=	* 6	x39=	\$312	OR	x78=	\$
<input type="checkbox"/> MULTIPLE DEPENDENT CLAIM PRESENTED			x130=	\$ 0	OR	x260=	\$
* If the difference in Col.1 is less than zero, enter "0" in Col.2			TOTAL	\$837	OR TOTAL		\$

+ Assignment \$ 40 = \$877.00 total

- ☒ Please charge my Deposit Account No. 13-2515 for any additional fees. A duplicate copy of this sheet is enclosed.
- ☒ A check in the amount of \$877.00 to cover the filing fee associated with this communication or credit any overpayment to Deposit Account No. 13-2515. A duplicate copy of this sheet is enclosed.
- ☒ Any additional filing fees required under 37 CFR 1.16.
- ☐ Any patent application processing fees under 37 CFR 1.17.
- ☐ The Commissioner is hereby authorized to charge payment of the following fees associated with this communication or credit any overpayment to Deposit Account No. 13-2515. A duplicate copy of this sheet is enclosed.
- ☐ Any patent application processing fees under 37 CFR 1.17.
- ☐ The issue fee set in 37 CFR 1.18 at or before mailing of the Notice of Allowance, pursuant to 37 CFR 1.311(b).
- ☐ Any filing fees under 37 CFR 1.16 for presentation of extra claims.
- Daniel J. Meaney, Jr., Esq.  
P. O. Box 22307  
Santa Barbara, California 93121  
Phone: (805) 687-6909  
Date: September 15, 2000
- Respectfully submitted,  
  
Daniel J. Meaney, Jr.  
Reg. No. 22179

**VERIFIED STATEMENT CLAIMING SMALL ENTITY STATUS**  
(37 CFR 1.9(f) & 1.27(c))--SMALL BUSINESS CONCERN

Docket Number (Optional)  
5575 413436/080

Applicant or Patentee: MALCOLM G. SMITH, SR.

Application or Patent No.: \_\_\_\_\_

Filed or Issued: \_\_\_\_\_

Title: DATA STORAGE CARD HAVING A GLASS SUBSTRATE AND DATA SURFACE  
REGION AND METHOD FOR USING SAME

I hereby declare that I am:

☐ the owner of the small business concern identified below:

☒ an official of the small business concern empowered to act on behalf of the concern identified below:

NAME OF SMALL BUSINESS CONCERN ULTRACARD, INC., a Nevada corporation

ADDRESS OF SMALL BUSINESS CONCERN 16695 Lark Avenue, Suite 102  
Los Gatos, California 95032

I hereby declare that the above identified small business concern qualifies as a small business concern as defined in 13 CFR 121.12, and reproduction in 37 CFR 1.9(d), for purposes of paying reduced fees to the United States Patent and Trademark Office, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when is either directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention described in:

☒ the specification filed herewith with title as listed above.

☐ the application identified above.

☐ the patent identified above.

If the rights held by the above identified small business concern are not exclusive, each individual, concern or organization having rights in the invention must file separate verified statements averring to their status as small entity, and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d), or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern or organization having any rights in the invention is listed below:

☒ No such person, concern or organization exists.

☐ Each such person, concern or organization is listed below.

Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

I acknowledge the duty to file, in this application or patent, notification of any change in the status resulting in loss of entitlement to small entity status prior to pay, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING Corinne Cox

TITLE OF PERSON IS OTHER THAN OWNER Secretary

ADDRESS OF PERSON SIGNING 16795-Lark Avenue, Suite 102, Los Gatos California 95032

SIGNATURE Corinne Cox DATE September 13, 2000

**VERIFIED STATEMENT CLAIMING SMALL ENTITY STATUS  
(37 CFR 1.9(f) & 1.27(b))--INDEPENDENT INVENTOR**

Docket Number (Optional)  
5575 413436/080

Applicant or Patentee: MALCOLM G. SMITH, SR.

Application or Patent: \_\_\_\_\_

Filed or Issued: \_\_\_\_\_

Title: DATA STORAGE CARD HAVING A GLASS SUBSTRATE AND DATA SURFACE  
REGION AND METHOD FOR USING SAME

As below named inventor, I hereby declare that I qualify as an independent inventor as defined in 37 CFR 1.9 (c) for purposes of paying reduced fees to the Patent and Trademark Office described in:

☒ the specification filed herewith with title as listed above.

☐ the application identified above.

☐ the patent identified above.

I have not assigned, granted, conveyed or licensed and am under no obligation under contract or law to assign, grant convey or license, any rights in the invention to any person who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person has made the invention, or to any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or nonprofit organization 37 CFR 1.9(e).

Each person, concern or organization to which I have assigned, granted, conveyed, or licensed or am under any obligation under contract or law to assign, grant, convey, or license any rights in the invention is listed below:

☐ No such person, concern or organization exists.

☒ Each such person, concern or organization is listed below.

ULTRACARD, INC.,  
a California corporation  
16795 Lark Avenue, Suite 102  
Los Gatos, California 95032

Separate verified statements are required from each named person, concern or origination having rights to the invention averring to their status as small entities. (37 CFR 1.27)

I acknowledge the duty to file, in this application or patent, notification of any changes in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon or any patent to which this verified statement is directed.

MALCOLM G. SMITH, SR.

NAME OF INVENTOR

NAME OF INVENTOR

NAME OF INVENTOR

*Malcolm G. Smith*

Signature of inventor

Signature of inventor

Signature of inventor

September 13, 2000

Date

Date

Date

.DATA STORAGE CARD HAVING A GLASS SUBSTRATE AND  
DATA SURFACE REGION AND METHOD FOR USING SAME

CROSS REFERENCE TO RELATED APPLICATIONS

This Application is a Continuation-in-Part of United States Patent Application Serial No. 09/113,783 filed July 10, 1998, now pending, which is a continuation of United States Patent Application No. 09/105,696 filed June 26, 1998, now abandoned, which is a Continuation-in-Part of United States Patent Application No. 07/871,447, filed April 21, 1992, now abandoned, which, in turn, is a Continuation-in-Part of United States Patent Application Serial No. 07/342,217 filed April 24, 1989 which issued as United States Patent No. 5,107,099 on April 21, 1992.

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